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PTO/SB/01 (10-00)

Approved for use through 10/31/2002. OMB 0651-0032

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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**DECLARATION FOR UTILITY OR  
DESIGN  
PATENT APPLICATION  
(37 CFR 1.63)**

Declaration Submitted with Initial Filing       Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)  
OR

Attorney Docket Number	180/117/2
First Named Inventor	Oas et al.
<b>COMPLETE IF KNOWN</b>	
Application Number	09 / 845,363
Filing Date	April 30, 2001
Group Art Unit	
Examiner Name	

**As a below named Inventor, I hereby declare that:**

**My residence, mailing address, and citizenship are as stated below next to my name.**

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

# A QUANTITATIVE, HIGH-THROUGHPUT SCREENING METHOD FOR PROTEIN STABILITY

*(Title of the Invention)*

the specification of which

is attached hereto

OR

was filed on (MM/DD/YYYY) 04/30/2001 as a United States Application. Application Serial No. 09/514,960.

Application Number 00-1245-262 (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

<p>I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or any PCT international application having a filing date before that of the application on which priority is claimed.</p>				
Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached? YES NO
			<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

Application Number(s)	Filing Date (MM/DD/YYYY)	<input type="checkbox"/> Additional provisional application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.
60/200,311	04/28/2000	<input type="checkbox"/>

[Page 1 of 2]

**Burden Hour Statement:** This form is estimated to take 21 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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## DECLARATION — Utility or Design Patent Application

Direct all correspondence to:		<input checked="" type="checkbox"/> Customer Number or Bar Code Label		OR <input type="checkbox"/> Correspondence address below
Name		25297 PATENT TRADEMARK OFFICE		
Address				
Address				
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Country		Telephone	Fax	
<p>I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.</p>				
NAME OF SOLE OR FIRST INVENTOR :		<input type="checkbox"/> A petition has been filed for this unsigned inventor		
Given Name (first and middle [if any]) <i>Terence G.</i>		Family Name or Surname <i>Oas</i>		
Inventor's Signature <i>Terence G. Oas</i>		Date <i>7-11-01</i>		
Residence: City <b>Durham</b>		State <b>NC</b>	Country <b>USA</b>	Citizenship <b>USA</b>
Mailing Address <b>2920 Welcome Drive</b>				
Mailing Address				
City <b>Durham</b>		State <b>NC</b>	ZIP <b>27705</b>	Country <b>USA</b>
NAME OF SECOND INVENTOR:		<input type="checkbox"/> A petition has been filed for this unsigned inventor		
Given Name (first and middle [if any]) <i>Sina</i>		Family Name or Surname <i>Ghaemmaghami</i>		
Inventor's Signature <i>Sina Ghaemmaghami</i>		Date <i>7-20-01</i>		
Residence: City <b>Durham</b> San Francisco		State <b>CA</b>	Country <b>USA</b>	Citizenship <b>CA</b>
Mailing Address <b>715 Ninth Street, #27 1923 Page St.</b>				
Mailing Address				
City <b>Durham</b> San Francisco		State <b>NC</b> CA	ZIP <b>27705</b> 94117	Country <b>USA</b>
<input checked="" type="checkbox"/> Additional inventors are being named on the <u>1</u> supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.				

Please type a plus sign (+) inside this box → **+**

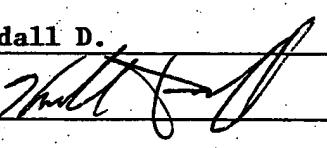
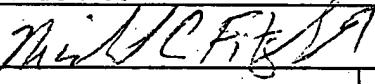
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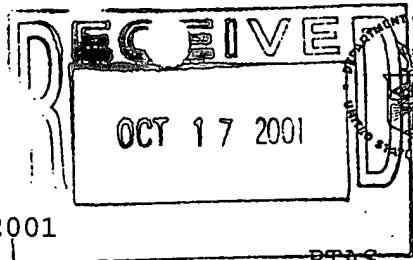
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## DECLARATION

### ADDITIONAL INVENTOR(S) Supplemental Sheet Page 1 of 1

Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name <u>Kendall D.</u>		Family Name or Surname <u>Powell</u>	
Inventor's Signature 			Date <u>7/11/01</u>
Residence: City <u>Durham</u>	State <u>NC</u>	Country <u>USA</u>	Citizenship <u>USA</u>
Mailing Address <u>3446 Sandy Creek Drive</u>			
Mailing Address			
City <u>Durham</u>	State <u>NC</u>	ZIP <u>27705</u>	Country <u>USA</u>
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name <u>Michael C.</u>		Family Name or Surname <u>Fitzgerald</u>	
Inventor's Signature 			Date <u>7/11/01</u>
Residence: City <u>Durham</u>	State <u>NC</u>	Country <u>USA</u>	Citizenship <u>USA</u>
Mailing Address <u>3206 Alsey Place</u>			
Mailing Address			
City <u>Durham</u>	State <u>NC</u>	ZIP <u>27707</u>	Country <u>USA</u>
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name		Family Name or Surname	
Inventor's Signature <u>7</u>			Date
Residence: City	State	Country	Citizenship
Mailing Address			
Mailing Address			
City	State	ZIP	Country

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OCTOBER 12, 2001

JENKINS & WILSON, P.A.  
ARLES A. TAYLOR, JR.  
SUITE 1400 UNIVERSITY TOWER  
3100 TOWER BOULEVARD  
DURHAM, NC 27707



\*101811066A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 08/06/2001

REEL/FRAME: 012056/0522  
NUMBER OF PAGES: 5

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:  
OAS, TERENCE G.

DOC DATE: 07/20/2001

ASSIGNOR:  
GHAEMMAGHAM, SINA

DOC DATE: 07/20/2001

ASSIGNOR:  
POWELL, KENDALL D.

DOC DATE: 07/20/2001

ASSIGNOR:  
FITZGERALD, MICHAEL C.

DOC DATE: 07/20/2001

ASSIGNEE:  
DUKE UNIVERSITY  
230 NORTH BUILDING  
RESEARCH DRIVE  
DURHAM, NORTH CAROLINA 27708

N/A

ASSIGNED BY: ARL/SRL  
FILE NO. 18011312

SERIAL NUMBER: 09845363  
PATENT NUMBER:

DOCKETED BY: LS6  
FILING DATE: 04/30/2001  
ISSUE DATE: 10/13/01

012056/0522 PAGE 2

DOROTHY BASMA, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

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Form PTO-1595  
(Rev. 03/01)

RE

OMB No. 0651-0027 (exp. 5/31/2002)

Tab settings → → →



U.S. DEPARTMENT OF COMMERCE  
U.S. Patent and Trademark Office

101811066

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Terence G. Oas  
Sina Ghaemmaghami  
Kendall D. Powell  
Michael C. Fitzgerald

08/06/01

Additional name(s) of conveying party(ies) attached?  Yes  No

3. Nature of conveyance:

Assignment  Merger  
 Security Agreement  Change of Name  
 Other \_\_\_\_\_

Execution Date: July 20, 2001

2. Name and address of receiving party(ies)

Name: Duke University

Internal Address: \_\_\_\_\_

Street Address: 230 North Building,

Research Drive

City: Durham State: NC Zip: 27708

Additional name(s) & address(es) attached?  Yes  No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No.(s)

09/845,363

B. Patent No.(s)

Additional numbers attached?  Yes  No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Arles A. Taylor, Jr.

Internal Address: Jenkins & Wilson, P.A.

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41).....\$ 40.00

Enclosed

Authorized to be charged to deposit account

8. Deposit account number:

(Attach duplicate copy of this page if paying by deposit account)

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9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*

Arles A. Taylor, Jr.

Name of Person Signing

Arles A. Taylor

Signature

8-6-01

Date

Total number of pages including cover sheet, attachments, and documents: 4

Mail documents to be recorded with required cover sheet information to:

Commissioner of Patents & Trademarks, Box Assignments  
Washington, D.C. 20231

ASSIGNMENT

WHEREAS, we, Terence G. Oas, City of Durham, State of North Carolina, Sina Ghaemmaghami, City of Durham, State of North Carolina, Kendall D. Powell, City of Durham, State of North Carolina, and Michael C. Fitzgerald, City of Durham, State of North Carolina, (hereinafter "Assignors"), have invented certain new and useful improvements in A QUANTITATIVE, HIGH-THROUGHPUT SCREENING METHOD FOR PROTEIN STABILITY for which an application for Letters Patent of the United States was made on April 30, 2001 as U.S. Patent Application Serial No. 09/845,363.

AND, WHEREAS, Duke University, a non-profit organization located at Durham, North Carolina, (hereinafter "Assignee"), is desirous of acquiring an interest therein.

NOW, THEREFORE, To Whom It May Concern, be it known that for good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Assignors have sold and by these presents do hereby sell, assign, transfer and convey unto the said Assignee, its successors and assigns, his/her or their entire right, title and interest in and to said invention and application, and in and to any and all United States patent applications filed pursuant to 35 U.S.C. § 111(a) pertaining to said invention and/or which claim priority to the United States provisional patent application referenced above, and in and to any and all continuations, continuations-in-part, or divisions of any U.S. or foreign patent application filed on the invention, and in and to any and all Letters Patent of the United States of America and all foreign countries or reissues or extensions thereof which may be granted therefor or thereon, for the full end of the term for which said Letters Patent may be granted, together with his/her or their right to claim the priority of said application in all foreign countries in accordance with the International Convention, the same to be held and enjoyed by said Assignee, its successors and assigns, as fully and entirely as the same would have been held and enjoyed by Assignors if this assignment and sale had not been made.

SCANNED

Assignors hereby request that said Letters Patent be issued in accordance with this assignment.

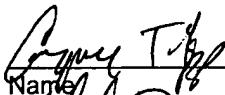
Assignors further covenant and agree that, at the time of the execution and delivery of these presents, Assignors possess full title to the invention and application above-mentioned, and that they have the unencumbered right and authority to make this assignment.

Assignors further covenant and agree, and likewise bind their heirs, legal representatives and assigns, to promptly communicate to said Assignee or its representatives any facts known to them relating to said invention, to testify in any interference or legal proceedings involving said invention, to execute any additional papers which may be requested to confirm the right of the Assignee, its representatives, successors and assigns to secure patent or similar protection for the said invention in all countries and to vest in the Assignee complete title to the said invention and Letters Patent, without further compensation, but at the expense of said Assignee, its successors, assigns and other legal representatives.

Executed this 11<sup>th</sup> day of July 2001.

  
Terence G. Oas

Witnessed by:

  
George T. Oas  
Name 11 July 2001  
Date

  
John P. Oas  
Name 7/11/01  
Date

Executed this 20 day of July 2001.

SCANNED

  
Sina Ghaemmaghami

Witnessed by:

---

Name	Date
------	------

---

Name \_\_\_\_\_ Date \_\_\_\_\_

Executed this 22 day of June 2001.

Kendall D. Powell

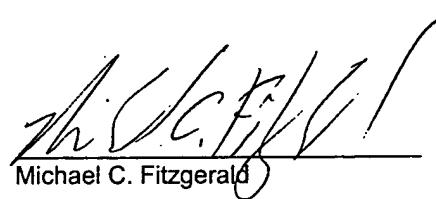
Witnessed by:

Cucky Geeks 6-22-01

John R. Day 6-22-01

SCANNED

Executed this 22 day of June 2001.



A handwritten signature in black ink, appearing to read "Michael C. Fitzgerald".

Michael C. Fitzgerald

Witnessed by:

Candy Deans 6-22-01  
Name Date

Jason K Day 6-22-01  
Name Date